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ARCHIVES COMMISSION**

2017 Intro to Grants Management


Financial Management and Reporting

Presented by
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What we will cover

- General funding information
- Grant and financial management
- Payment process
- Change requests
- Reporting
- Last things



General funding information

- Funding
 - Federal funds (from IMLS)
 - Cannot be used to match other federal grants
 - Must all be used (or as close as you can)
 - Reimbursement
 - Can be reduced, but not increased
 - By June 15, 2017 – notify TSLAC if you will not spend all of your funds by August 31



Allowable costs

- **Salaries/wages/benefits** — Subrecipient staff
- **Travel** — specific to carry out the grant-funded project (program personnel NOT participants)
- **Equipment** or other approved capital expenses = capitalization level or > \$5,000/unit
- **Supplies/materials** — books, e-books, crafts, consumables, software*, etc.



Allowable costs

- Contractual **services** (instructors, IT functions, speakers, etc.)
- **Consultant fees** (travel, accommodation, support services)
- **Indirect costs**, overhead or finance & administration (F&A) costs as approved as part of the budget



Unallowable costs

- Any expenses before September 1, 2016, and beyond August 31, 2017
- Building construction or renovation, fixtures or services
- Food, beverages, or food delivery equipment or services
- Awards, honoraria, prizes, or gifts
- Promotional items



Unallowable costs *(continued)*

- Equipment or technology not specifically needed to carry out the goals of the grant
- Transportation/travel for participants or non-grant funded personnel
- Collection development purchases not targeted directly to the grant goals nor integral to the service program
- Handling fees



Unallowable costs *(continued)*

- Databases currently offered or similar to ones offered by TSLAC (i.e., TexShare; a magazine index database may not be purchased if a comparable one is provided by TSLAC)
- Advertising or public relations costs not directly related to promoting awareness of grant-funded activities
- Performers or presenters whose purpose is to entertain rather than to educate



Subrecipient monitoring

- Subrecipient's responsibility to monitor vendors and subcontractors for eligibility to receive Federal funds
 - Not debarred, suspended, etc.
 - Should have a DUNS # and SAM registration
- Other options
 - Direct hire or
 - Temp services/agency



Grant management

- GMS functions assigned
 - Financial reporting
 - Requests for funds and documentation
 - Certification submitted (signed) by whoever is authorized to bind the entity OR authorized proxy



Financial management

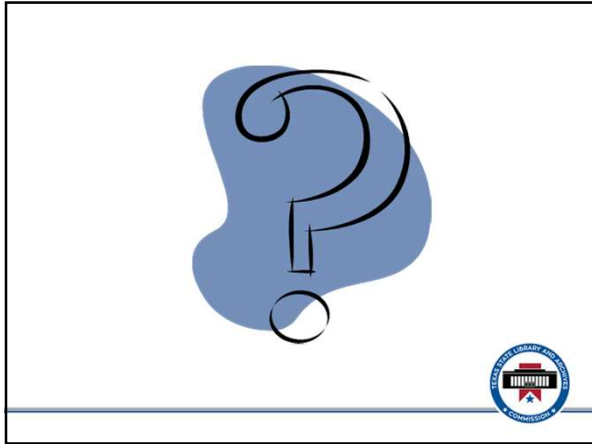
- Tracking tool (Excel, Quicken, QuickBooks, other accounting software or system)
- Financial management system
- Internal controls
- Conflicts of interest
- Criminal disclosures
- Procurement standards

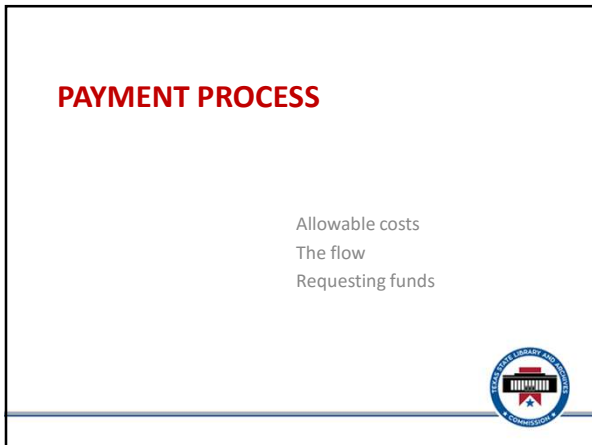


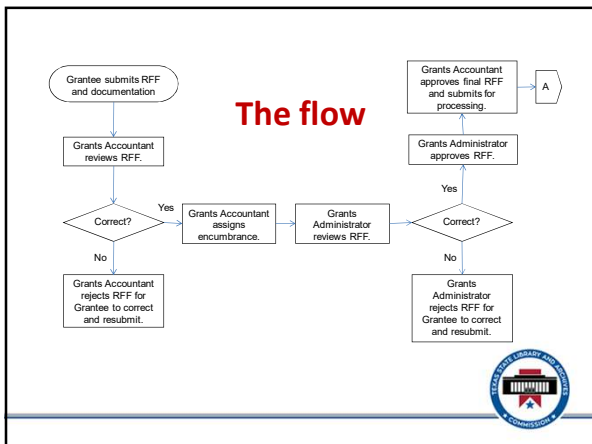
Financial management

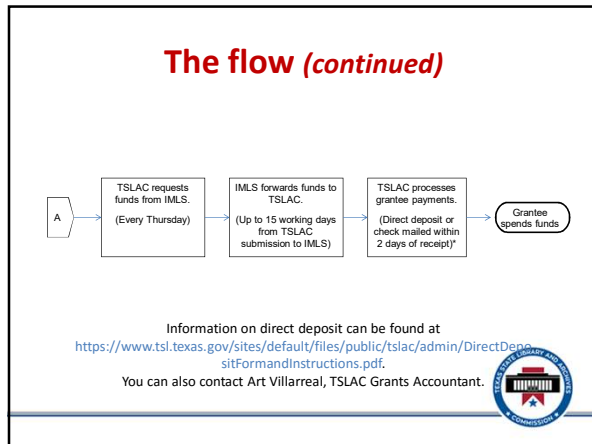
- Documentation (in one place)
 - Contract & revisions
 - Application
 - Procedures
 - Rules and regulations (Supercircular, UGMS)
 - Expenditures
 - Paid invoices
 - Receipts
 - Timesheets (paper or electronic)
 - Payroll
 - General ledger













RFF – Reimbursement

- Default payment method
- For actual expenditures during normal billing cycle
 - Payment date or projected payment date of expenditures should fall within the period covered by the RFF.



RFF – Advances

- Require approval and documentation* to demonstrate financial hardship
- For estimated expenditures to be incurred for the upcoming 30 days
- Defaults to “reimbursement” if excessive balances are kept
- Must be submitted by 1st of month to cover expenses to be paid in following month
 - Due by October 1 to cover November 1-30



RFF – Advances

- Limited to what you will spend in the 30 days following receipt of funds
- Contact
Rebecca Cannon, Accounting Manager
512-463-6626
rcannon@tsl.texas.gov



Requesting funds

- Request for Funds (RFF) submitted in GMS 2017 (grants.tsl.texas.gov)
- Reimbursement or advance (approval required)
- Submitted for required period **even if total requested is \$0**
- Submitted at any time
 - No more than once every 30 days
 - No less than once each quarter



Requesting funds — GMS roles

- Must have correct role for task
 - Create/update/no submit RFF
 - Create/update/submit RFF
 - RFF Read only
- “Submit” role – financial certification “signature”



RFF Financial Certification

- "Signature" – by authorized individual or proxy
 - All reports are true, complete, and accurate,
 - All the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award
- "Proxy" requires a letter from authorized individual authorizing a proxy.



RFF Financial Certification

By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).(Contract Section VII. D.)



Requesting funds

- Must submit via GMS 2017
 - Paid invoices
 - Receipts
 - Timesheets (paper or electronic)
 - General ledger
- RFFs not processed until supporting documentation received and all reports current



RFF – Submission

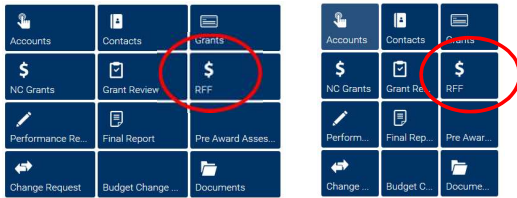
- Gather all supporting documentation – paid invoices, receipts, time sheets, payroll registers, general ledgers, etc. included in the RFF.

Note: If only part of the total invoice or receipt is being reimbursed, circle/mark the items and amounts to be reimbursed.



RFF in GMS

From **Home Page** in GMS 2017, select “RFF.”



RFF in GMS

- RFF sections
 - Request for Funds
 - Request for Funds Details
 - Summary of RFF by Budget Category
 - Payment Info
- Numbers sequentially for system not by grant
 - RFFs
 - RFF details
- Submission dates are on a timer - every 30 days



RFF in GMS

Request For Funds

Add RFF


Request For Funds

Add RFF

VIEW	Request For Funds
<input checked="" type="checkbox"/> RFF Number	Grant
<input type="checkbox"/> 100000	Sammie needs a friend also
478-17000	\$5,000.00
Submitted	7/19/2016 12:09 PM

Request For Funds

Add RFF



RFF in GMS

Request For Funds

Add RFF


Request For Funds

Add RFF

VIEW	Request For Funds
<input checked="" type="checkbox"/> RFF Number	Grant
<input type="checkbox"/> 100000	Sammie needs a friend also
478-17000	\$5,000.00
Submitted	7/19/2016 12:09 PM

Request For Funds

Add RFF



RFF in GMS

Request For Funds

Add RFF

Request For Funds

Add RFF


RFF Number

Grant

Next Possible RFF Submit Date

Legal Entity

Save



RFF in GMS

Record created successfully.

Request For Funds

RFF Number

100003

Grant

Too many dogs, not enough cats

Next Possible RFF Submit Date

Legal Entity

Submit RFF


Yes

No

By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).

Final Request For Funds

Date Submitted



RFF in GMS

Request For Funds Details

Request For Funds Details

Choose Action

Submit

Add

RFF Detail ID	Invoice Number	Vendor Name	Payment Date	Budget Category	Amount Claimed	Comment	Status Reason	Created On
No records are available in this view								

Summary of RFF by Budget Category

Current Remaining Budget

Current Request

Remaining Balance

Salaries/Wages/Benefits

0.00

Salaries/Wages/Benefits Req

0.00

Available Salaries/Wages/Benefits

0.00

Consulting Fees


0.00

Consultant Fees Req

0.00

Available Consulting Fees

0.00



RFF in GMS

Total Cost

21020.00

Total Request Amount

0.00


Available Total Budget

21020.00

Payment Info

Date Paid

Payment ID



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RFF in GMS

Request For Funds Details

Choose Action...
Add

RFF Detail ID

Invoice Number

Vendor Name

Payment Date

Budget Category

Amount Claimed

Comment

Status Reason

Created On

No records are available in this view


Choose Action...
Submit

Add

Comment

Status Reason

Created On



RFF Details

Add

General

RFF Detail ID

Invoice Number

Vendor Name

Budget Category

Services

Salaries/Wages/Benefits

Consultant Fees

Travel


Supplies/Materials

Equipment

Indirect Costs

Cancel

Save



RFF Details

Invoice Number

ABC123

Vendor Name

Books R Us

Budget Category

Supplies/Materials

Payment Date


9/1/2016

Amount Claimed *

123.46

Comment

Board books




RFF Details

Request For Funds Details

Choose Action... Submit Add

RFF Detail ID	Invoice Number	Vendor Name	Payment Date	Budget Category	Amount Claimed	Comment	Status Reason	Created On
100003	ABC123	Books R Us	9/1/2016	Supplies/Materials	\$123.45	Board books	New	9/6/2016



RFF Details

Add

Choose Note ACTIONS Choose Action... Submit

General

RFF Detail ID

100003

Invoice Number

ABC123

Vendor Name

Books R Us

Budget Category

Services

General

RFF Detail ID

100003

Invoice Number


ABC123

Vendor Name

Books R Us

Budget Category

Supplies/Materials



RFF Details — Quantities

100003


Quantities

Choose Action... Submit Add

RFF Quantity ID	Grant Item	Other Description	Quantity	Created On
No records are available in this view				

Notes

Add Note



RFF Details — Quantities

Add

General

RFF Quantity ID

Grant Item *

Accessories - Computer, Camera/Video

Apps (Tablets, Mobile Devices)

Audio Books/Cds

Camera/Video Equipment

Computers - Desktop/Laptop

Computers - Network

Computers - Tablets, E-Readers

Consumables (Paper, Toner, Etc.)

DVDs

E-Books

Electronics And Robotics

Furniture

Manipulatives

Mobile Devices (iPods)

Print Materials (Books, Documents)

Printers/Scanner


Software

Storage Supplies (Bins, Backpacks, Archival, Etc.)

Textiles (Cloth, T-Shirts, Tablecloths)

Tools

Other Supplies/Materials



RFF Details — Quantities

Add

General


RFF Quantity ID

Grant Item *

Print Materials (Books, Documents)

Quantity *


150



RFF Details — Item Lists

Supplies/Materials

- Accessories - computer, camera/video
- Apps (tablets, mobile devices)
- Audio books/CDs
- Camera/video equipment
- Computers - Desktop/laptop
- Computers - Network
- Computers - Tablets, e-readers
- Consumables (paper, toner, etc.)
- DVDs E-books
- Electronics and robotics
- Furniture
- Manipulatives
- Mobile devices (iPods)
- Print materials (Books, documents)
- Printers/scanner
- Software
- Storage supplies (bins, backpacks, archival, etc.)
- Textiles (cloth, t-shirts, tablecloths)
- Tools



RFF Details — Item Lists

Services


- Promotion
- Computer services
- Databases
- Postage
- Printing
- Signage
- Software as a service (SaaS)
- Speaker fees
- Support - Computer
- Support - Web
- Training - patrons
- Training - staff
- Venue fees (room rental, etc.)



RFF Details — Item Lists

Travel


- Airfare
- Ground transportation (e.g., taxi, car rental, mileage, etc.)
- Lodging
- Meals



RFF Details

Request For Funds Details

RFF Detail ID	Invoice Number	Vendor Name	Payment Date	Budget Category	Amount Claimed	Comment	Status Reason	Created On
100003	ABC123	Books R Us	9/1/2016	Supplies/Materials	\$123.46	Board books	New	9/6/2016
100004	XYZ789	XYZ to Me	9/6/2016	Services	\$94.00		New	9/6/2016



RFF Summary

Summary of RFF by Budget Category

Current Remaining Budget	Current Request	Remaining Balance
Salaries/Wages/Benefits 0.00	Salaries/Wages/Benefits Req 0.00	Available Salaries/Wages/Benefits 0.00
Supplies/Materials 15000.00	Supplies/Materials Req 123.46	Available Supplies/Materials 14876.54
Equipment 20.00	Equipment Req 0.00	Available Equipment 20.00
Services 6000.00	Services Req 94.00	Available Services 5906.00
Indirect Costs 0.00	Indirect Costs Req 0.00	Available Indirect Costs 0.00
Total Cost 21020.00	Total Request Amount 217.46	Available Total Budget 20802.54

RFF Details — Attachments

100003


Notes

Add a note:

spreadsheet with details

Attach File:

AM-OmekaVisitsApril2016_04_01-2016_04_30.csv



RFF Financial certification

Submit RFF


☒ Yes

☐ No

By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).

☒ Final Request For Funds

Date Submitted



RFF — Submitted

Request For Funds

RFF Number:
100003


☒ Final Request For Funds

Grant:
Too many dogs, not enough cats

Date Submitted:
9/7/2016 9:25 AM

Next Possible RFF Submit Date:

Legal Entity:



RFF — To be submitted


Request For Funds


RFF Number
100004


Grant
Too many dogs, not enough cats

Next Possible RFF Submit Date
10/7/2016 9:25 AM

Legal Entity









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CHANGE REQUESTS




Change Requests

- Fiscal changes (Section V. A. of contract)
 - 10% threshold of funding award
 - Transferring to \$0 budget category
 - Item changes with significant price/feature differences
 - Change in purpose
- Program changes
 - Adding 3rd party services
 - Changing scope or objectives



Change Requests

- MUST GET PERMISSION TO SUBMIT
- Can have multiple revisions
- Can decrease total grant funds, but NOT increase



Change Requests

From **Home Page** in GMS 2017, select "Budget Change Request."

Accounts

Contacts

Grants

NC Grants

Grant Review

RFF

Performance Re...

Final Report

Pre Award Asses...

Change Request

Budget Change ...

Documents

Accounts

Contacts

Grants

NC Grants

Grant Re...

RFF

Perform...


Grant Re...

Pre Awar...

Change

Budget C...

Docume...




Change Requests

Grant Budget Change Requests
Add Budget Change Request


Grant Budget Change Requests

VIEWS Grant Budget Change Requests

☒ Request ID 

Grant

Sub Recipient




Change Requests

General

Sub Recipient * ☐ I want to decrease my awarded budget

Grant *

Change Request Contact *



Change Requests

Sections

- General
- Details
 - Reason for the change request (high level)
- Budget Details
 - Current Budget
 - Proposed Budget
 - Change Reason



RFF important dates

- **June 15, 2017** – last date to submit spending plan
- **July 1, 2017** – last date to request an advance
- **July 15, 2017** – last date to request a revision
- **August 31, 2017** – last date to obligate or encumber funds
- **September 30, 2017** – last date to request a reimbursement (final RFF)
- **October 15, 2017** – last date to liquidate or pay all obligations and encumbrances



Change Requests

General

Sub Recipient *

Texas Lutheran University

Request ID

10002

Grant *

Too many dogs, not enough cats

☐ I want to decrease my awarded budget

Change Request Contact *

Martha Rinn



Change Requests

Details

Change Reason

Budget Details

Current Budget

Current Budget

Proposed Budget

Proposed Budget

Change Reason

Change Reason

Salaries/Wages/Benefits

0.00

Proposed Salaries/Wages/Benefits

0.00

Salaries/Wages/Benefits Reason

Change Requests — Reallocation

Budget Details

Current Budget

Current Budget

Proposed Budget

Proposed Budget

Change Reason

Change Reason

Current Supplies/Materials

15000.00

Proposed Supplies/Materials

10000.00

Supplies/Materials Reason

Supplies didn't cost as much as quoted.

Current Equipment

20.00

Proposed Equipment

5020.00

Equipment Reason

Because of discounts, can now by equipment that will help us reach more people faster. Quoted price: 4999

Current Services

6000.00

Proposed Services

6000.00

Services Reason

Change Requests — Decrease

Budget Details

Current Budget

Current Budget

Proposed Budget

Proposed Budget

Change Reason

Change Reason

Current Supplies/Materials

15000.00

Proposed Supplies/Materials

10000.00

Supplies/Materials Reason

Supplies didn't cost as much as quoted.

Current Equipment

20.00

Proposed Equipment

5020.00

Equipment Reason

Because of discounts, can now by equipment that will help us reach more people faster. Quoted price: 4999

Current Services

6000.00

Proposed Services

0.00

Services Reason

No longer need services because of purchase of equipment.


Change Requests

Reallocating funds — To be Allocated=\$0.00

Current Total Budget	Proposed Total Budget	To Be Allocated
21020.00	21020.00	0.00

Decreasing funds — To be Allocated=Amt of decrease

Current Total Budget	Proposed Total Budget	To Be Allocated
21020.00	15020.00	6000.00



Change Requests

Current Total Budget	Proposed Total Budget	To Be Allocated
21020.00	0.00	21020.00

☒ Submit Change Request



Submit Date

Done

Grant Budget Change Requests

Views: Grant Budget Change Requests

Request ID	Grant	Sub Recipient	Change Request Contact	Submit Date	Status Reason	Created On
<input type="checkbox"/> 10002	Too many dogs, not enough cats	Texas Lutheran University	Martha Rinn	9/7/2016	Returned	9/7/2016 9:41 AM



REPORTING

Financial Status Report (FSR)
Equipment Report



Reporting

- Created from information provided in the RFF details
- Financial Status Report
 - Real time table that pulls from submitted RFFs
 - Do not need to be submitted
 - Can check status at any time
- Purchase Reports
 - Equipment
 - Supplies/Materials
 - Services
 - Consultant services



Contacts

Program issues, budget/program revisions, performance reports

Erica McCormick
Grants Administrator
emccormick@tsl.texas.gov
800.252.9386 or 512.463.5527

Requests for funds, payments, and financial status

Arturo Villarreal
Grants Accountant
grants.accounting@tsl.texas.gov
512.463.5472



